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Arts & Humanities  
Research Council



# Toolkits for Advancing Practice

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RMAA Post Convention Seminar  
16 September, Melbourne



# Overview

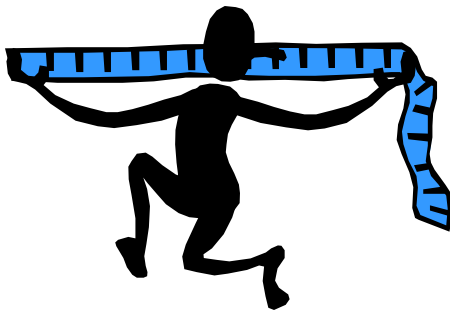
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- tools for managing records
  - are they adopted or adapted?
  - are they appropriate?
  - are they advancing practice?
- existing tools
  - ISO 15489 & BIP guidelines
  - RM compliance & capacity toolkits
- potential new tools
  - AC<sup>+</sup>erm project
- conclusions

# 1. ISO 15489 & BIP 0025

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- impact in the UK
  - adopters & non-adopters
- findings
  - limited impact
- BIP 0025 (1-4): Effective records management



## 2. RM capacity & compliance toolkits

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- self assessment toolkits to measure records & information management
  - capacity, compliance, readiness
- the toolkits
  - IGT (Information Governance Toolkit), UK
  - IMCC (Information Management Capacity Check), Canada
  - RMCAS (Records Management Capacity Assessment System), UK/Int
  - RiskProfiler, USA
- evaluation criteria

# Adopters: case examples

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- IGT
  - Acute Trust (UK), 1500 staff, mandatory assessment
- IMCC
  - National Library & Archive (Canada), 1200 staff, merger
- RMCAS
  - Bank (Africa), 300 staff, quick RM assessment
- RiskProfiler
  - Government department (Holland), 4000 staff, voluntary pilot & quick compliance assessment (ISO 15489)

# Adopter experiences

“effective way of focusing the Trust across the range of IG requirements including RM”

“it was a great tool to bring people together to discuss issues of IM and to learn more about what other people in the institution do”

“as far as I know there’s no tool that is close to providing as much utility as this one”

“overview of where we stood in the ‘battle of compliance’”; “kind of road map for improvement”



# Adoption: value & benefits

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- assessment
  - measure of compliance &/or capacity
  - benchmark against standards/others
  - identify strengths/weaknesses
- different purposes &/or levels of use
  - ‘quick & dirty’ vs detailed
- working with others
  - raise awareness, communicate, build partnerships

# 3. AC<sup>+</sup>erm

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## ACcelerating the pace of <sup>+</sup>positive change in erm

- critically explore issues & practical strategies
  - develop critical global view of ERM
  - gather multi-disciplinary opinion on ERM issues
  - gather knowledge of practical strategies & CSFs
  - develop an appropriate paradigm for ERM

# The team...

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- Julie McLeod – Project Director
- Sue Childs – Research Fellow
- Rachel Hardiman – Senior Research Assistant
- Naomi Hay-Gibson – PhD student

Information & Knowledge Systems Research Group,  
School of Computing, Engineering & Information Sciences

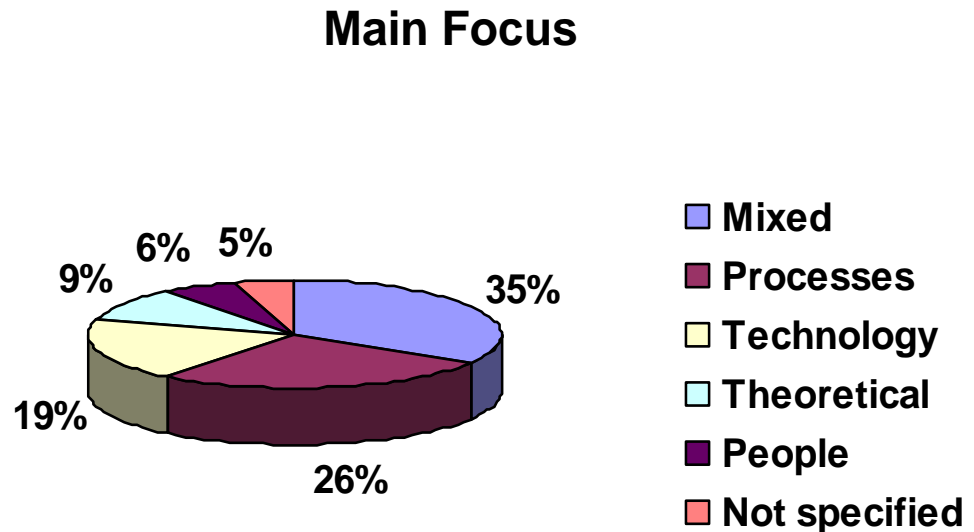
# Our approach

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- qualitative
- multi-disciplinary participants & stakeholders
- three main phases
  - comprehensive systematic literature review
  - investigation phase
  - dissemination activity

# Systematic literature review

- 3 bibliographic
  - 1,281 resources
- characteristics
  - main focus, at
- analysis of critical issues
  - 19 CSFs, 10 s
- analysis of people issues
  - 8 themes, 13 sub-themes



# Investigation phase

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- three facets of designing an architecture for ERM
  - people issues
  - understanding work processes
  - systems and technologies
- e-Delphi studies & colloquia
- outputs
  - results & vignettes
- significant study
  - over 200 people
  - all stakeholder groups

# People investigation interim results

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- issues
  - 8 groups
  - most urgent issues

# People investigation interim results

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## ■ issues

- 8 groups
- most urgent issues

1. CEOs, executives & management lack understanding of RM and their role within that
2. Records professionals need appropriate knowledge/skills, approaches and relationships for the e-environment
3. RM & IM principles and practices need to be a valued and integral part of the organisation

# People investigation interim results

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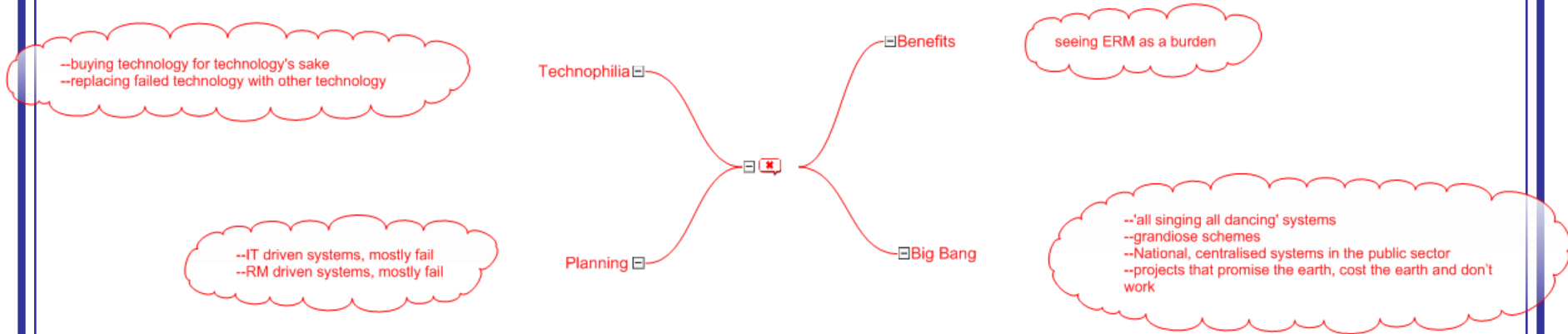
- issues

- 8 groups
- most urgent issues

- solutions

- to try
- to avoid

# 'Other' solutions to avoid



# Solutions to try



# People investigation interim results

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## ■ issues

- 8 groups
- most urgent issues

## ■ solutions

- to try
- to avoid

## ■ emergent themes analysis

- roles & turf wars, ownership & autonomous actors, cultural change, change management, bottom line

# Dissemination phase



The screenshot shows a website page for 'Colloquia'. The top navigation bar includes links for Courses, Request prospectus, Student support, Visiting, International, Schools & Services, eLibrary, eLearning Portal, and Desktop Anywhere. The breadcrumb trail reads: Home Page > Schools & Services > Academic Schools > School of Computing, Engineering & Information Scier Engineering and Information Sciences > Information, Knowledge and Systems Research Group > Themes > Re positive change in ERM > Colloquia. The main heading is 'Colloquia'. Below it, text states: 'The AC+erm project team will be organising a number of free colloquia during the project period. These colloquia will perform two functions: (i) data collection and (ii) ongoing dissemination of results. The first aim of the colloquia is to validate and extend the Delphi studies through face-to-face discussions between a larger audience of participants. The two methods (of e-Delphis and colloquia) provide a sound balance in terms of data collection enabling expert opinion, experience and views on each issue to be gathered; practical solutions to be shared and refined, and partnerships to be built. The second aim of the colloquia is to update on research progress and share ongoing research findings.' A red 'Stop Press' banner follows, announcing the 'First AC+erm Colloquium' on 9th October 2008, from 12.00 to 16.30, at Wellcome Collection, 183 Euston Road, London. The topic is 'Designing an Architecture for ERM: the People Facet - Issues and Solutions'. It notes that free buffet lunch and refreshments are provided. At the bottom, it says 'Formal call for participants will be sent out shortly. However if you want further information or to book a place in advance please contact us on the project email [eb.acerm@northumbria.ac.uk](mailto:eb.acerm@northumbria.ac.uk)'. On the left side of the page, there is a search bar and a vertical menu with links for Project Team, Project Blog, Systematic Literature Review, Designing an Architecture, Colloquia, and Resources.

- project website
  - all interim results  
See *SLR & Designing an architecture > People facet* sections
- a blog
  - post interim findings
  - collect views, encourage trans-disciplinary debate
- articles, conference papers & final colloquium

[www.northumbria.ac.uk/acerm](http://www.northumbria.ac.uk/acerm)

# Participating in the project

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- contributor
  - in search of successful solutions - online survey  
*Sept 2008*
  - next e-Delphi studies  
*processes (Oct-Dec 2008); technology (early 2009)*
  - colloquia in the UK
  - blog
  - email [eb.acerm@unn.ac.uk](mailto:eb.acerm@unn.ac.uk)
- user
  - website [www.northumbria.ac.uk/acerm](http://www.northumbria.ac.uk/acerm)
  - blog <http://acerm.blogspot.com>

# Conclusions

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- adopting &/or adapting?
  - tools & principles - evidence of both
- analyzing appropriateness?
  - research projects & work-based evaluation
- acting on experience to advance practice?
  - evidence in literature, research data, students
- ... *and*
- the research - practice partnership



TAXI RANK

TAXI  
stand for taxi

